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ABSTRACT

These five papers are from a symposium that was facilitated by Barbara Swanson at the 1995 conference of the Academy of Human Resource Development (HRD). "Extending Leadership Development beyond the Classroom: Looking at Process and Outcomes" (Dianne P. Young, Nancy M. Dixon) examines an innovative leadership development program that focuses on the integration of learning and work. It explores critical design features along with the atypical action-planning process used in the program. "The Development of Standards of Competence for Senior Management" (Gill Lane, Alan Robinson) outlines the issues and outcomes resulting from research into identifying the standards of best practice required of senior management. "Leadership Development of Physician Executives" (Mitchell E. Kusy, Jr., Louellen N. Essex, Thomas J. Marr) reports a national study of 150 physician executives, with a focus on the implications for the selection, training, and management/career development of physician leaders. "On a Clear Day You Can Have a Vision: A Visioning Model for Everyone" (Richard Allen) presents a participative model for visioning that is intended to encompass all organizational stakeholders. "How Do Selected HRD Professionals View the State of the Succession Planning Art?" (William J. Rothwell) presents results of a survey of 350 HRD professionals, with a focus on opinions about Successful Planning (SP). It reports that the highest frequency of HRD professionals from organizations with and without SP programs perceived such programs to be critically important. (YLB)

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ACADEMY OF HUMAN RESOURCE DEVELOPMENT

1995 Conference Proceedings

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[5] **LEADERSHIP, EXECUTIVE & MANAGEMENT DEVELOPMENT**

Facilitator: Barbara L. Swanson, Swanson & Associates, Inc.

Extending Leadership Development Beyond the Classroom: Looking at Process and Outcomes.
Dianne P. Young, Center for Creative Leadership
Nancy M. Dixon, George Washington University

The Development of Standards of Competence for Senior Management
Gill Lane, Henley Management College (England)
Alan Robinson, Henley Management College (England)

No Longer Solo Practice: Leadership Development of Physician Executives
Mitchell Kusy, University of St. Thomas
Louellen N. Essex, University of St. Thomas
Thomas J. Marr, Partners Consulting Group, Ltd.

On A Clear Day You Can Have A Vision: A Visioning Model for Everyone
Richard K. Allen, Central Michigan University

How Do Selected HRD Professionals View the State of the Succession Planning Art?
William J. Rothwell, Pennsylvania State University

CE 070763

Extending Leadership Development Beyond the Classroom: Looking at Process and Outcomes

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Center for Creative Leadership, George Washington University

This study examines an innovative leadership development program (LeaderLab®) which focuses on the integration of learning and work. Critical design features are examined along with the atypical action-planning process used in the program. The role of turbulence in the implementation of action plans back home is also explored. Two outcome measures were employed: a multi-rater "change questionnaire" and multiple-source, post-program interviews. Findings reveal the program is having significant, positive impact.

Organizations are experimenting with ways to integrate work and learning for executives through developmental assignments (Lombardo & Eichinger, 1989), developmental relationships (McCauley & Young, 1993), action-learning groups (Dixon, 1993), and training which is relevant to the current leadership situation (Burnside & Guthrie, 1992). However, little is known about how the executives experience an integrative program, what facilitates the integration, and what outcomes occur.

This study partially addresses the lack of knowledge by examining an innovative leadership development program, LeaderLab®, offered by the Center for Creative Leadership. The program goal is: To encourage and enable leaders to take more effective action in their leadership situation. With its emphasis on action, the program encourages integrating learning with the actual leadership situation from work. One of the guiding principles of the program is that intervention over time ensures lasting behavioral change.

LeaderLab® is a six-month program with two separate weeks of classroom activity. Mid-level managers from a variety of organizations apply to the program and are then selected based on several criteria, including the intent to produce diversity in the participant group. For pre-work, participants complete numerous self-assessments, have coworkers fill out 360 degree instruments, and do an audit of their current work situation. Each participant is contacted before the program starts by a process advisor who will serve as his or her personal coach over the six months of the program.

The program begins with six days at CCL during which participants receive feedback on their instrumentation, meet with their process advisor, learn from lectures and discussions, and engage in a number of experiential and non-traditional learning activities such as the "Acting Leader." They develop relationships with change partners within the participant group who provide support and with whom they process what they are learning. The action-planning process takes participants through several steps that include guided visualization and development of a written plan for action. After their initial six days, participants return to work for three months and implement the plan they have developed for taking more effective leadership action. Each keeps a learning journal which is used for reflection and for communication with the process advisor. Participants establish a second set of change partners in their worksite who provide support and feedback for the changes they are working on. Process advisors contact participants by phone at least once each month to support and challenge their efforts to become more effective. After three months, the participants return to CCL for four days to process their learning and again participate in various classroom activities. They again spend time with the process advisor and revise their action plans, now taking into account what has been learned in the first three months. At the end of the second session

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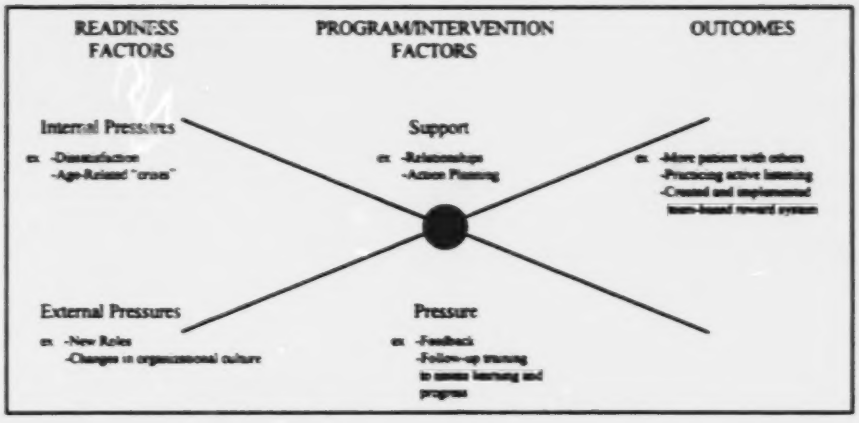
participants again return to their work to implement their revised plan during the two-and-a-half remaining months of the program. They continue to engage in journal writing, interact with their worksite change partners, and talk with the process advisor as a way to reflect on their actions and garner support. The program ends after six months with an in-depth written summary of the experience and a final conversation with the process advisor. An annual network meeting of all program alumni is held to provide opportunity for continued support and learning.

Theoretical Framework

This study draws on several theoretical frameworks. One is the theoretical frame of action learning (Argyris, 1985; Dixon, 1994; Revans, 1983) which posits real-world action as a valuable source of knowledge about self, and conversely, views organizational change as a manifestation of individual growth and development. Closely related is the theoretical frame of learning from experience (Bunker & Webb, 1992) which explicates the relationship between challenging/stressful experiences and learning. A third framework is a leadership development model based on work at CCL (Palus & Drath, in press; Young, 1993). This model has three components: readiness for development, factors involved in program intervention, and outcomes. Figure 1 below depicts a simplified version of the model with examples of each component.

Figure 1.



The action-learning framework has been incorporated into the design of LeaderLab® by spreading the program over time and providing opportunities for training, implementation back on the job, and reflective tools and processes to distill learning. The program emphasizes challenging/stretching experiences both in the classroom and in action planning for back home implementation. In the classroom, participants experience non-traditional training activities (acting, artistic work, etc.), feedback (including 360-degree instruments), and diverse perspectives from both staff and each other. In the action-planning portion of the program, participants are encouraged to work on challenging/stretching behaviors which, though difficult, may increase their effectiveness. Finally, we have used the above-referenced leadership development model to help us make sense of the evaluation data we collected around LeaderLab®, particularly the critical program features.

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Research Questions

- What are the critical design features of a leadership development program which strives to integrate work and learning?
- What do we know about participants' on-going experimentation as they integrate action, learning, and change?
- What outcomes result from a leadership development program that integrates work and learning?

Methodology

The sample consisted of 51 executives who attended one of three LeaderLab® runs between March, 1992, and February, 1993. Of the 51, two were dropped because they were CCL staff members; one person did not complete the program; and 11 participants did not participate in any of the data collection. Thirty-seven participants completed some part of the data collection. Therefore, our data analysis is based on subgroups of the 37 and varies according to the research question addressed. The group of 37 was primarily male (77%) and Caucasian (89%) with an average age of 43 (range 32-55). Over half (57%) of the group had a masters degree or Ph.D and tended to hold positions relatively high in the organizational hierarchy (46% upper-middle managers; 27% executive level; and 13.5% CEO level). The largest percentage (57%) were employed by private businesses, while 16% worked in either education or government. Forty-six percent of the sample were administrators; the rest of the group were widely diverse in their work roles.

Our data collection for the first research question consisted of participant phone interviews regarding program features. We interviewed 32 participants, 3-4 months post-program. Table 1 details which program features we asked about and the two questions we posed about each.

Table 1.

Program Features	Questions from Interview Protocol
Process Advisors Program Structure Action Planning Diversity of Group Artistic Activities Nature Walk Acting Class Journaling Visioning Change Partners Group Sculpting	• Was the (program feature) helpful in enabling you to take more effective action? If so, how? • On a 1 to 10 scale, how would you rate the (program feature) in terms of its helping you reach your goals?

Two researchers content-analyzed the responses to each open-ended question. The participants' quantitative ratings were averaged and the program features ranked in descending order.

The quantitative outcome measure was a "Change Questionnaire" developed specifically for this study which utilized a retrospective methodology (Howard & Dailey, 1979). We developed the questionnaire by collecting open-ended data from participants and raters concerning changes the participants were making during the program. We content-analyzed the data and developed broad categories of change. Items were written for the categories and piloted with program alumni. Revisions were made to the items and categories based on the results. The Change Questionnaire

used in the study contained 92 items which were clustered into 14 scales. Table 2 contains a list of the scales and their alphas.

Table 2. Alphas for LeaderLab® Impact Questionnaire Rater Data Only

Scale Name	Alphas for Difference Data *Alpha*	*N*
Balance	.79	105
Climate	.57	110
Composure	.66	109
Facilitating Communication	.74	106
Seeking Feedback	.73	106
Flexibility	.55	109
Listening	.78	111
Organizational Systems	.65	108
Self-Assessment	.76	109
Self-Confidence	.63	110
Sense of Purpose	.40	107
Subordinate Development	.76	106
Trade-Offs	.67	109
Treatment of Others	.88	107

Participants and their raters were asked to respond to the 92 items in two ways: 1) Circle the number which best describes the person one year ago; 2) circle the number that best describes the person today. A 9-point rating scale was used with the following anchors: 1 = Not at all; 3 = To a small extent; 5 = To a moderate extent; 7 = To a great extent 9 = To a very large extent.

The Change Questionnaire was distributed post-program. All raters were guaranteed confidentiality and no feedback results were given to the participants (this was clearly pointed out before they participated). Both participants and their raters returned the questionnaires directly to us. We had 29 participants with useable data. We also administered the Change Questionnaire to a matched sample control group which consisted of individuals who had been accepted into the program but had not yet attended (n=40). By comparing the change scores of the two groups we determined whether or not those who completed the program were perceived as making significantly more change than the control group.

Our first analysis used the data of only the participants who completed LeaderLab® to determine if they had made significant changes in their behavior. We first computed mean difference scores using rater data only for each scale. We then computed paired t-tests for each scale to determine if the differences were significantly greater than zero by chance alone. In order to account for the increased potential of Type I errors (we computed multiple t-tests), we adjusted our significance level to .01 instead of .05. Next, we computed mean difference scores (again using only rater data) for the control group. We then computed matched sample t-tests comparing the difference scores of the two groups on each scale. Again, we used .01 as our significance level, not .05.

Our qualitative outcome data consisted of phone interviews conducted with 27 participants, their co-workers and process advisors. The interviews were conducted 3-4 months after completion of LeaderLab®. The focus of the interviews was on the implementation of action plans back on the job based on the written action plan from the 2nd week of training at CCL. We also asked exploratory questions regarding the action-planning process as well. Table 3 displays examples of the types of the questions asked of each source.

Table 3.

Selected Questions for Co-workers and Process Advisor
* What specific actions is (participant) currently taking to be more effective in her leadership situation? * What enabled her to take these actions? * (Refer to action plan) What progress did (participant) make on her action plan? (Read each action) What evidence do you have of this progress?
Selected Questions for Process Advisor
* Was there any evidence that the action plan changed over time? If so, what do you think caused the change? * What other progress did you observe the participant making over the course of the program? What evidence did you have of this progress?
Selected Questions for Participant
* In the program you committed to a set of actions. What have you accomplished with respect to these actions? * What specific actions are you taking now to be more effective in your leadership situation on a personal, group, and systems level? * Has your action plan changed over time, and if so, what caused it to change?

Two researchers were involved in content analyzing the types of actions/outcomes reported in the interview data. We first made a master list of all actions/outcomes reported when at *least two* of the sources mentioned it. Then we developed categories of the actions and coded the list. (We are currently having other raters code the data to see how closely they replicate our system.) Three researchers were involved in further exploration of the interview data regarding the action planning process used in LeaderLab®.

Results

What are the Critical Design Features of a Leadership Development Program Which Strives to Integrate Work and Learning? The results of our content analysis of the participant interviews regarding program features showed two key contributors to the success of the program: process advisors and program structure (intervening over time). These two features received the highest overall ratings (process advisor = 8.9; program structure = 8.2) and extremely favorable reviews by participants as key to their taking more effective action back on the job. Participants reported that process advisors played a variety of roles: Expert, Dialogue Partner, Accountant, Positive Reinforcer/Encourager, Feedback Provider, and Counselor. For further discussion of these roles see McCauley et. al. (1993). In addition, the process advisor's perceived objectivity and

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acceptance/positive regard for the participant seem to be critical ingredients of successful relationships. Thirty one of the 32 participants we interviewed in this part of the study thought that the program structure had the right time distribution, with the split training weeks and time for implementation of action plans back on the job spread over the six months. These findings are consistent with results from earlier data collections around program effectiveness. However, our current findings are perhaps more impressive than earlier results because the data were collected 3-4 months after participants completed LeaderLab®. We have found that ratings gradually decrease over time (Young, 1993), so it is striking that these two features of the program continue to be perceived as highly impactful.

Also helpful to participants are the action-planning (rating=7.8) and artistic activities (rating=7.1) used in the program. The most helpful thing about action planning is the structure and organization it provides participants as they plan next steps towards achieving their vision back on the job. The artistic activities in the program include a "touchstone" exercise in which participants construct a personally meaningful object out of natural materials. Briefly, the touchstone is a symbolic representation of the LeaderLab® experience; it helps participants express their own metaphor or vision of change in a non-verbal way (DeCiantis, in press). It is a "living" reminder of the program. This exercise is stretching for many participants, but generally perceived as very valuable and meaningful by helping them express their vision and get in touch with their emotions. It is one of the more non-traditional aspects of the training experience at CCL.

What Do We Know About Participants On-Going Experimentation as They Integrate Action, Learning and Change? During LeaderLab®, participants implemented action plans within the context of a great deal of personal- and work-related turbulence. The researchers were astonished at the amount of turbulence reported, particularly since we did not ask specifically about this in the interview protocol. The description of the turbulence often came as an explanation for why actions from the written plans had not been carried out or had taken an unanticipated direction. Had participants been asked more directly, we may have seen more turbulence reported. Turbulence was reported for 19 out of the subsample of 27 participants.

We can operationally define turbulence as unanticipated occurrences that command the attention of the participant and are typically stressful situations. Turbulence was frequently, but not always, experienced negatively. The turbulence reported in this study can be grouped into four broad categories: systemic, job/task, personal, and psychological.

Systemic turbulence involved such occurrences as downsizing, reorganization, and the replacement of senior management. Participants, themselves, appeared to have little impact on such occurrences, although they were greatly affected by them. Generally, participants in these situations focused on personal goals, not group or systemic goals. Nine participants reported some kind of systemic turbulence.

Occurrences in the job/task category include taking a new job within the same company, sometimes as a result of systemic changes; taking a job in a new organization; job loss, again, often due to a systemic change; and moving between line and staff positions. Twelve participants reported this type of turbulence.

Occurrences in the personal category happened outside of the workplace, yet greatly affected how participants functioned at work. They included such events as personal health problems or that of family members; loss of a close relationship through separation or death; and the instigation of new relationships or resumption of a former one. Eight participants reported events in this category of turbulence.

Occurrences in the psychological category tended to be long-standing problems such as alcholism, depression, and chemical imbalances. In some cases the participant was learning to deal with an issue in a new way; in other cases the participant gained new insight into the impact of the problem on their work. Four participants reported turbulence in this area.

The turbulence manifested in these four categories clearly had an impact on participants' ability to carry out their action plans. However, the nature of that impact is less apparent in our data. In most cases the turbulence, even when it was negative, did not seem to prevent participants from making progress in some areas, although the turbulence did appear to influence which areas were

focused on. It is unclear that the turbulence always fostered learning, although for some participants it seemed to do so. This preliminary finding is consistent with earlier LeaderLab® research in which individuals who participated as case studies for the formative research were found to have been more motivated when there were pressures/turbulence present in their lives. The program seemed to have greater impact on participants with a moderate amount of turbulence and pressure (Young, 1993).

In further exploring the question of how participants experiment with integrating action, learning and change we found evidence in the interview data that participants approached implementation of action planning from three different models: goal focus, vision focus, and process focus.

The first model, or goal focus, is reflective of the way action plans are most commonly referenced in the literature: goals to be attained. These respondents answered questions as though the action-planning was a blueprint for specific actions. In other words, they tended to take the action planning process quite literally. Rarely were there reports of actions beyond the specific steps they committed to on paper in the program.

In the second model, vision focus, the respondents seemed to view the items on the action plan as beginning steps for a more extensive plan. They regarded the individual items they had written into the action plan as a kind of tip-of-the-iceberg. The "iceberg" itself included the vision the participant had created during the program. The participant seemed to carry a mental image of an ideal state (vision) they were working towards, more than specific items written on the plan. Their actions often took advantage of, or responded to, opportunities that occurred in their environment. Thus, actions definitely changed, and in some cases, the vision seemed to evolve as well. This model seemed to be the most prevalent among participants in this study.

The third model was more process focused--how to conduct work. Participants viewed action planning as an ongoing process that involves acting, reflecting, and revising actions. They tended to use their action plan as a way to communicate with others about what they were trying to accomplish or do differently. Some participants talked about using the action-planning process and, in some cases, the material from LeaderLab® with their teams to work towards a shared vision. From this perspective, the initial steps written on paper were viewed as just an iteration of a process that would continually evolve. Thus, anything written on paper would be "old news" within a short period of time, given the dynamic and ever-changing environment these leaders were operating within.

All of the participants in LeaderLab® went through the same process in developing their action plans, so how might we account for the variation in the meaning the respondents assigned to the process? Several possibilities suggest themselves: 1) The program took a process perspective by having participants construct a plan in the first training week at CCL - implement the plan for three months back on the job - return to CCL and revise the action plan - implement again for two and half months back on the job. This process orientation was further enhanced by the process advisor relationship over the six months to help the participant reflect on what she was learning and revise actions accordingly. Thus, the program emphasizes a dynamic view of action planning; 2) Participants were encouraged to construct action plans which were meaningful and useful to them in their individual situation; 3) Participants in LeaderLab® had typically had other leadership development experiences which probably emphasized a more traditional "goal-focus" model of action planning. They may have carried this framework over into the LeaderLab® Program.

Although exploratory, this part of the study provides data on how action planning may work in actuality. These data challenge the way leadership and management-development professionals have typically viewed and presented action planning to their participants. It has most often been framed from the goal-attainment model, assuming that an action plan functions like a road map to get the participant from point A to point B. These data suggest that for many participants action plans are much more dynamic. This preliminary finding is congruent with recent work by Mitchell and Wood (1994) who point out that, "Managerial work is characterized by complex causal paths, socially mediated outcomes, dynamic, evolving tasks, and multiple time frames. These characteristics make the application of goal setting theory to managerial work more complex than simply setting specific, challenging goals." (p.3)

One implication for multiple models of action planning is the difficulty this presents for program evaluation. The goal-focus model is far easier to assess by simply checking off a yes or no for each action committed to on paper. The vision focus and process focus models are more dynamic and complex. In our own analysis strategy, we decided to forgo the typical goal-focus model of measuring progress. Thus, we developed the list of *all* actions reported by at least two sources, rather than focusing only on what participants committed to on paper in the program.

What Outcomes Result From a Leadership Development Program that Integrates Work and Learning? Following are the results of the change questionnaire and interview data analyses.

Change Questionnaire. Table 4 presents mean change scores (rater data only) by scale for both the group who completed LeaderLab® and the control group which had not yet attended the program and the results of our t-tests. Asterisks in the second column indicate significant change for the group who completed LeaderLab®. The fourth column displays t values computed to test the difference between the means of the two groups. Asterisks indicate significance levels. First, based on the rater data, the group which completed LeaderLab® was perceived as having made significant, positive change on every scale. Second, all significant differences between the two groups indicate that the group who *completed* LeaderLab® were perceived as having made more change than the control group. On 11 of the 14 scales, the group who completed the program had significantly higher mean change scores.

Table 4. Mean Change Scores

Scale	Mean Change Group That Completed LeaderLab®	Mean Change Control Group	t Value
Self-Assessment	1.04***	0.47	-4.33***
Seeing Feedback	0.88***	0.52	-2.75*
Organizational Systems	0.74***	0.41	-3.89**
Treatment of Others	0.73***	0.30	-3.77**
Facilitating Communication	0.70***	0.40	-2.90*
Climate	0.68***	0.27	-3.40**
Subordinate Development	0.65***	0.38	-3.22*
Composure	0.57***	0.29	-2.97*
Trade-Offs	0.58***	0.27	-4.59***
Listening	0.58***	0.24	-3.16*
Balance	0.44*	0.46	-2.15
Flexibility	0.69***	0.37	-3.73**
Sense of Purpose	0.39***	0.24	-1.80
Self-Confidence	0.25*	0.12	-1.88

*p<.01 **p<.001 ***p<.0001

These results indicate that the program is having a significant positive impact on the participants who attended. However, the results should be viewed with caution given the small sample size. We also want to note that the methodology of asking raters to directly assess change is less common than the traditional pre-post approach. However, according to Howard et. al. (1979), this method correlates more highly with objective measures of change (p. 146).

Content Analysis. The results of the content analysis of the action-planning interview data are presented in Table 5. There were 20 categories of actions reported including a miscellaneous category. These items tended to be too situation specific to content analyze. Table 5 depicts both the total number of actions reported by category (some participants had multiple actions reported in the same category) and number of participants with at least one reported action in the category.

Table 5.

Categories	Total # Actions Reported in the Category	# Participants
Miscellaneous	20	16
Communication/Listening	16	14
Interpersonal Relationships	14	10
Sense of Purpose/Vision	13	11
Balance/Family	12	10
Systems	11	08
Composure/Coping with Emotional Disequilibrium	09	09
Organizing the Job/Work	09	05
Openness	08	07
Subordinate Development	08	08
Utilizing LeaderLab® Content or Processes	07	06
Self-Awareness/Reflection	06	06
Self-Confidence	06	05
Roles	06	04
Health	05	04
Feedback	05	05
Career	05	04
Climate	04	03
Perspective Taking	04	03

Three key areas of impact emerge from the two outcome measures: interpersonal relationships (treatment of others), communications, and systems. The vision/sense of purpose category also seems to have been an area of great impact from the interview data. We were somewhat dissatisfied with this scale from the Change Questionnaire and believe it might have shown more impact if we had used better items. Perhaps it is not surprising that in using rater data only on the Change Questionnaire we found the greatest reported change on self-assessment and seeking feedback. The program encourages participants to share learnings about themselves and seek feedback from relevant coworkers throughout the six months.

Conclusions

Program designers may want to consider the findings from this study in crafting programs which integrate work and learning. What the process advisor relationships and the intervention stretched over six months may provide to the participant is *ongoing support and pressure*. LeaderLab® appears to have struck a balance between the two motivators. The way the program is able to *deeply personalize* the action planning and artistic activities may be the key to their impact.

Finding a way to connect to some deep personal meaning through the artwork and then carry that into the action planning may increase commitment and help integrate the participants' own vision with their leadership situation at work.

Given the amount of turbulence we found in this study, it would appear the relationship between turbulence and actions taken by participants warrants further study. Our research indicates that moderately stressful situations can motivate participants to take action to increase their effectiveness. Determining how turbulence facilitates program impact would be helpful to potential participants and their organizations in deciding whether the "timing is just right."

We also believe the findings related to different models of action planning can provide a rich research agenda for the future. If managers need models which are different from the traditional goal attainment model, then our three models may provide a starting point for further exploration. The process that LeaderLab® employs is dynamic and evolving, although it can only be taken so far within the six months of the program. Reframing our thinking around action planning also has implications for the questions we ask of our programs regarding their effectiveness. The questions asked would probably depend upon which model is operant. Perhaps we should challenge ourselves to look beyond the goal-attainment model and think about questions regarding the evolution of action steps and visions.

Finally, the outcome measures employed show distinct patterns of positive program impact. Since we have never used participant only (self-report) data, we believe the impact areas make sense: relationships, communication, systems, visioning. Frequently, the raters are the recipients of actions taken in these areas, so it seems natural that they would note changes. This raises a final point: we believe our findings to be more robust because we have not relied upon self-report data only. The downside to this choice is that we have omitted some rich data regarding the change process as the participants' experienced it. We hope to present the data both ways in future publications.

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The Development of Standards of Competence for Senior Management.

Gill Lane and Alan Robinson
Henley Management College.

In a dynamically changing world in order to gain competitive advantage organizations need to focus on the development of their most significant resource, their staff. The challenge, therefore, is to develop highly skilled and competent performers who continually review and improve their performance against an acknowledged standard. Henley Management College, England, on behalf of the Management Charter Initiative (MCI), have developed such a set of standards against which senior management performance might be measured. This paper outlines the research, outcomes and issues involved.

Recent years have seen organizations face a business market which is changing faster than ever before. Competition is increasing constantly as costs rise and profit margins fall. The world of the 1990's poses extreme challenges for business firms across the entire globe. An extensive survey conducted world-wide with more than twelve thousand managers revealed that 80% of them expected their future business environment to be more dynamic, complex and difficult to predict than it was at present, Kanter (1991). It is argued that in order to gain full competitive advantage organizations globally need to focus on the training and development of their staff. Rapidly changing markets, international competition, new technology and demographic changes have led to increasing demands for new ways of learning that would assist organizations through times of change Thurley (1990). As a result of the turbulence that organizations are increasingly experiencing training and development has to change fundamentally in order to respond to the constantly changing demands of the socio-economic environment. Handy (1985) argues that faced with blurred aims, conflicting functions and no simple way of measuring success, organizations have a major managerial problem. Without clear measures of success there are no obvious ways to assess the progress of individuals or groups, every judgment becomes subjective and personal.

The continuing challenge of the '90's, therefore, is one of developing highly skilled and competent performers at all levels of employment, who continually review and improve their performance against an acknowledged standard. *'Life Long Learning' is* fast becoming a cliche, but as a concept it very much represents the way in which individuals and organizations need to develop. Employers need to keep their workforce skilled and at the forefront of technological change; this means more than just recruiting the right people. It means continuously developing them, training and retraining to maintain the level and currency of their skills, knowledge and competence. In a society in which change has become the norm, it is no longer possible for a set of skills acquired at the start of a working life to remain relevant and serviceable throughout an average life span. It has been apparent for some time that theoretical knowledge and understanding alone are no longer valuable measures in forecasting how well people will perform in actual work situations. Such a system, Jessup (1991) argues, needs to be bound into a framework of occupational competence identified as being essential in the fulfillment of a specific work role.

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This paper, therefore, reviews some of the issues and outcomes resulting from research undertaken by Henley Management College on behalf of the Management Charter Initiative into identifying the standards of best practice required of senior management, a project funded by the United Kingdom Employment Department, and operationally referred to as M3.

National Management Standards - A Historical Perspective. The dynamically changing economic conditions during the 1970's and 1980's, were without doubt instrumental in providing a new impetus and direction for vocational education within the United Kingdom. During this period a combination of factors including;

- the rapid sophistication of technology and work practices
- the need to provide opportunities for greater access to continuous learning
- complaints from employers of skill shortages and falling standards
- the outcomes derived from traditional knowledge-based courses

led to the development of a number of new aims and approaches for vocational education. These concerns were highlighted in the Manpower Services Commission (MSC) publication "The New Training Initiative: An Agenda for Action." (1981). This set out a strategy for improving the standards of vocational education in the U.K. with the aim of developing a more highly skilled and flexible work force. The document stated that, at the heart of the initiative lie standards of a new kind. The meaning of this simple phrase, however, was not elaborated upon and it was not until some time later that the concept of competence-based standards and associated qualifications began to emerge.

Shortly afterwards, through the publication of two further documents, the government clearly signposted the direction in which policy was about to move. Both of these linked the idea of a competence based approach towards training with the need for a new, coherent structure of vocational qualifications.

The first of these was another report by the MSC and the NEDC: "Review of Vocational Qualifications in England and Wales" MSC/NEDC (1986) This suggested that existing vocational qualifications lacked consistency and clarity and were not easily understood by employers. The report suggested that a new form of vocational qualification should be developed. This should consist of:

> ...a statement of competence, clearly relevant to work and intended to facilitate entry into and progression in employment, further education and training, issued by a recognized body to an individual.
>
> MSC/NEDC (1986 pp. 4)

The second of these documents was the government white paper, "Working Together, Education and Training" Cmnd. No.9823 HMSO (1986). This set out plans for a fundamental review of education and training within the U.K. and proposed that, "the structure of vocational qualifications be reformed". It further stated that, vocational qualifications needed to relate more directly and clearly to the competence required (and acquired) at work. This white paper led to the formation, later in that year, of the National Council for Vocational Qualifications (NCVQ) and the inauguration of a major program to develop occupational standards. In parallel with the formation of NCVQ, the Government launched a program for developing competence-based occupational standards in all vocational areas. In conjunction with these two programs, two other types of body were formed. These were " Lead Bodies " and " Awarding Bodies ". Lead Bodies are constituted of representatives of leading practitioners from within a specific functional sector and are given responsibility for developing occupational standards and related National Vocational Qualifications (NVQ's) in particular industrial sectors or for cross-sectoral roles. Awarding bodies, on the other hand, are pre-existing examining boards or other types of awarding institutions who are responsible for awarding a particular NVQ.

In this respect the lead body for management standards is the National Forum for Management Education and Development (NFMED), better known by the title of its operating arm, The Management Charter Initiative (MCI). MCI was formed in 1988 following mounting criticism of the lack of adequate training amongst U.K. managers. Two publications which were particularly influential in drawing attention to this problem were those produced by Constable and McCormick (1987) and Handy et al (1988). It was shortly after the publication of the latter

that the Confederation of British Industry (CBI), the British Institute of Management (now the Institute of Management) and others inaugurated the MCI in an attempt to improve the quality of British management through appropriate forms of management development.

From its inception, the MCI was offered moral and financial support by the Government and was soon given a leading role in the development of national standards of competence for managers. To date national standards have been developed for three levels of management: supervisory, (MIS) junior, (M1) and middle managers (M2) (Cheetham (1922).

National Standards and The Concept of Competence. Focusing upon developing competence related to workplace practice and standards of performance requires a re-think not only of current education and training but also the way in which learning is assessed. The White Paper entitled "Working Together - Education and Training" provides a clear statement of what should be assessed in which it states;

> a statement of competence should incorporate the assessment of skills to specified standards, relevant knowledge and understanding and the ability to use skills and apply knowledge and understanding in the performance of relevant tasks.
>
> cited in Cheetham (1992 pp. 2)

What is this competence ? What does it look like as a whole, particularly with regard to the workplace? If, the aim of an effective learning program is the development of competence, it is of considerable importance how one then views competence. However, in asking the question, what is competence? it is recognized that there are as many definitions as there are individuals prepared to make a contribution in this direction. As Winter (1991) points out, in relation to the development of standards, the Training Agency's wide definition of competence serves as a reasonably broad starting point, in it they state;

> Competence is a wide concept which embodies the ability to transfer skills and knowledge to new situations within an occupational area. It encompasses organization and planning work, innovation and coping with non-routine activities. It includes those qualities of personal effectiveness that are required in the workplace to deal with co-workers, managers and customers.
>
> T.A. Guidance Notes p.1.

In a further attempt to clarify occupational competence The National Council for Vocational Qualifications NCVQ (1989) provide us with a definition in which they state:

> Competence is the ability to perform a range of work related activities and skills, displaying the knowledge and understanding which underpins such a performance to the standards expected in employment.
>
> cited in Cheetham (1992 pp. 6).

The key point in all of this, however, is that competences are dimensions of behavior which are related to levels or standards of performance and can be defined in outcome terms.

Setting up The Research.

An Overview. In September 1992, MCI in responding to a number of pressures to develop Senior Management standards commissioned a short investigatory study to explore the level of demand for a further model of management beyond those of M2, MI and MIS. Reay & Crawley (1992). The principal finding from the study revealed significant support for the MCI to develop a further model which reflected standards of best practice for senior management and complemented those already in use. As a result MCI commissioned the development of three interdependent models based upon

* acknowledged standards
* knowledge and understanding
* personal competence

The research upon which this paper is based, refers to the development of senior management standards and was undertaken jointly by Henley Management College and Northern Regional Management Center on behalf of MCI and funded principally by the United Kingdom Employment Department.

The project involved the development of a set of generic competence based standards which reflected the role expectations of senior managers and which built upon previous work on the development of management standards at middle(M2), first-line (M1) and supervisory level (M1S).

In order to oversee the management of the project, representatives of the business community were invited to act as members of a steering group with the specific intention of providing on-going support and monitoring the project's progress.

The data obtained reflects the views and experiences of two hundred senior managers, representative of all organizational sectors within the UK economy. The information gathered was supplemented by the views of business school academics and others involved in management development.

Preliminary work involved the development of an operational definition of senior management and agreement with the steering group regarding the criteria for selection of a representative sample of key sectors of the UK economy. As a consequence, the workshop program and interview schedules undertaken at a later date were devised to facilitate geographic as well as sectoral representation. Small organizations, however, were seen as being potentially different from their larger counterparts and were likely to form a subset of the main program. As a result MCI set up a separate project to focus specifically on this issue.

The operational definition of a senior manager and the selection criteria for the sample were initially discussed and agreed by the steering group as a result it was determined, that for the purpose of the project, that a senior manager would be someone who had;

* significant responsibility for proposing and implementing policy and overall strategy;
* responsibility for significant resources;
* responsibility for initiating and leading strategic change;

It was considered that he/she may be the chief executive or a member of the executive team, or at the level reporting to that group in a large organization or operating subsidiaries and/or their equivalent in public and other sectors. It was equally important when establishing the selection criteria of a representative sample to ensure that only senior managers who were exemplars of best practice were included, as a result selection focused upon individual managers who:

* were promotable
* were consistent in achievement of targets
* were the people who the organization could least afford to spare
* were *critical* to the success of the organization
* had successfully dealt with turnaround, downsizing or taken the company into new markets
* had demonstrated achievements in excess of expectations.

In order to encompass as wide a cross-section of organizational types as possible, therefore, the sample was drawn from:

* public/private sector organizations
* UK/foreign owned
* different ownership arrangements
* small and medium sized organizations
* range of functional backgrounds
* geographical spread.

The specific objective of the research and the primary focus of this paper, therefore, was:

1. to identify competence based standards for senior management, representatives of major sectors of the UK economy covering public and private sectors, manufacturing and services, and

large and small employing organizations;
2. to identify the background knowledge and understanding- the information, theories and techniques which are required for excellent performance in senior management;
3. to provide a framework for the extension of middle management standards easing individual progression and career development.

Methodology

An overview. The MCI Management Standards Model comprises a set of observed outcomes of managerial activity which are measurable and explicit. In order for precise assessment of competence to take place, the standards are broken down into greater behavioral detail, first into units of competence and secondly into elements of competence. Each element outlines the knowledge and understanding, the performance criteria which provides a means of measurement, and the range of contexts in which these may be observed. Knowledge and understanding, on the other hand, encompasses the information, theories and techniques required for competence to be demonstrated. Whilst accepting that K & U are an integral part of the model, they are different in nature from the behavioral aspects and as such are viewed as a complementary aspect of the main framework. Equally important are the personal competence's or personal characteristics required by senior managers and whilst these are also regarded as important they too are viewed as complementary aspects of the model.

The initial development of management standards through M2, M1 and M1S was carried out by analyzing the roles of thousands of practicing managers from hundreds of organizations, resulting in credible and measurable standards required for the achievement of organizational objectives. The process of analysis was rigorous focusing on the functional activities and outputs of managerial work and subjecting them to discussion in a series of focus groups and workshop events. The requisite personal competence's and necessary underlying knowledge and understanding were identified and derived through a similar process initially using Behavioral Event Interviews (BEF) and questionnaires. The results being initially published as draft standards and tested in field trials with organizations prior to a formal launch.

In order to ensure continuity and to provide progression from one level of management to the next it was important that similar methods to those used in previous work were applied in determining senior management standards, and that recent developments in methods and applications were incorporated in the project approach.

The Adopted Methodology.

The principal data was obtained through an initial literature review, a series of nine workshop events throughout the UK, in-depth interviews and finally by questionnaires regarding the resultant model.

Literature Review. The aim of management research as Easterly-Smith et al (1991 pp. 1) point out, "is to provide a bridge between theory and practice." An essential aspect of any respectable management research process is the part played by a thorough review of previous investigations into the area under examination. The purpose of the literature review, therefore, was to examine the experiences and reflections of practitioners and academics, who from their own experiences and previous studies have attempted to make the bridge more meaningful and transparent.

The review provided an overview of the varying concepts of management and then proceeded to highlight some of the factors and functions which differentiate the role of senior management from other levels and roles within an organization.

Workshops. The principal method for obtaining data was through a series of workshop events which typically took place over an entire day. Approximately fifteen to twenty senior managers from different sectors of industry attended each of the workshops and after a general

briefing worked individually within small focus groups and contributed to plenary sessions looking at aspects of their work activities. Each workshop was facilitated by members of the project team. In analyzing senior management activity the project focused upon two main areas of interest:

1. *the functions* which senior managers undertake and their contribution to the direction and operation of the organizations in which they are employed.
2. the *knowledge and understanding* which senior managers require in order to carry out these functions.

Critical Incident scripts. The critical incident technique as described by Flanagan in 1954 is a set of procedures for collecting direct observations of human behavior in such a way as to facilitate their potential usefulness in solving practical problems and developing broad psychological principles.

Critical incident technique is most commonly applied through interviews or similar types of interaction between the analyst(s) and the job holder or someone in a position to report on the job holder's behavior.

Using a combination of questions senior managers were invited to supply details of such critical incidents in relation to their senior managerial role. These formed the basis for later analysis providing information of

- functions
- success-v-failure
- underlying knowledge and understanding
- aspects of performance criteria both explicit and implicit
- key terminology
- links between circumstances and context

Its key features are that it elicits information on incidents which are observable or reportable in such a way that inferences can be made about a person and his/her actions. Written scripts from previous research have shown that sufficient data can be collected by this medium to give an approximation of interview or discussion providing sufficient detail for the purposes of analysis. These purposes included;

- grounding the identification of functions in actions undertaken by senior managers, rather than simply by their generalization about what constitutes senior management.
- generating indicators of the ways in which senior managers themselves characterized success and failure in different types of action - thereby suggesting the kinds of criteria which would apply to the functions derived from these actions.
- eliciting indications of the types of knowledge on which senior managers draw in carrying out actions.

Functional Analysis Framework. Prior to the development of the functional framework it was essential to determine the Key purpose of Senior Management. As a result data derived from individual comment, paired statements and focus group discussion led to the identification of a number of key words which acted as the starting point for a more in-depth analysis.

Data from the workshops further informed an emerging model with managers influencing its detailed development from one workshop to the next. This having been done the participant senior managers were invited to determine and describe the supporting senior management activity.

Initial functions identified were simply those in which competent senior managers should be able to engage. As the analysis proceeded, however, it was necessary to identify the distinguishing features of outcomes which were considered to represent successful performance and for which such qualities as creative leadership might be effective. This in turn led to the identification of performance criteria.

Development of Performance Criteria. The research team were interested in identifying the expectations of how senior management functions, emerging from the developing model, were conducted. The identification of such expectations to formulate performance criteria was

addressed through the identification of measurable outcomes against each detail of the emerging functional model. Delegates at a number of the workshops were, therefore, asked to identify the various measures by which they might be judged. They were asked to focus on outward-looking measures as far as possible in order to try and establish links between the performance of senior managers and the effectiveness of the organizations. The headings under which people allocated different measures varied and participants frequently referred to what ought to be measured and how this might be done rather than what the measure itself ought to be.

Knowledge and Understanding. Three workshops concentrated specifically on aspects of knowledge and understanding to the extent that questions were tailored in order to elicit the underlying knowledge and understanding required by senior managers to undertake their various functions. From data obtained it was possible to identify knowledge of various orders. This includes knowledge of facts and of procedures, personal and local knowledge, and what might be best described as *tacit* knowledge - knowing how to deal with people and events in an informal, yet non-presciptive manner.

Follow-Up Questionnaires. Following the set of workshop events questionnaires were sent to a wider audience of senior managers, representatives of business schools and management developers who had not previously participated and to all those who had already attended the workshops.

Integration. Frequent contact and sharing of news and views on respective progress was maintained between MCI, the Henley team and NRMC as the different parts of the overall project proceeded in parallel.

An important aspect of the methodology was the integration of the two key sections of the project, namely:

* *standards of best practice and knowledge and understanding*
  (Henley Management College)
* *personal competence*
  (Northern Regional Management Center).

Additionally, each party shared their basic data allowing for maximum integration as well as providing extra data to the other party. Similarly, ideas regarding use of literature, approach to workshops and interviews, and on presentation of an integrated model were continually explored.

Outcomes

The Integrated Model. Senior managers, if they are to be effective, must bring to their jobs the knowledge which enables them to make the right choices in the way in which they plan and implement the organization's operations. Possession of this knowledge is not itself a demonstration of competence, but without it, it seems most unlikely that a senior manager could sustain competent performance over time or in a variety of situations.

Similarly, the behaviors which a senior manager may demonstrate do not constitute the whole of a competence, but there are strong associations between behaviors and effectiveness or success. There is, to some extent, a connection between personal competence's in which the identified key behaviors are grouped and particular standards with their associated knowledge and understanding. While there is no one formula for personal competences which will guarantee that any function will be performed effectively, bringing the personal competences to the situation makes meeting the outcomes more likely.

The model of senior management competence, therefore, has three components:

* *a set of standards*, expressed in terms of outcomes expected of senior management,
* the *knowledge and understanding* seen as underpinning such performance,
* the *personal competences* - those underlying abilities which give rise to key behaviors demonstrated by effective senior managers.

These three components complement each other. The standards provide a focus for senior management activity, specifying what is done and, where good practice is followed, what constitutes a satisfactory outcome.

One of the key questions in this project was "If success or failure of an organization can be attributed to senior management, just what is it that senior managers *do* in the contexts in which they find themselves which makes such a difference?"

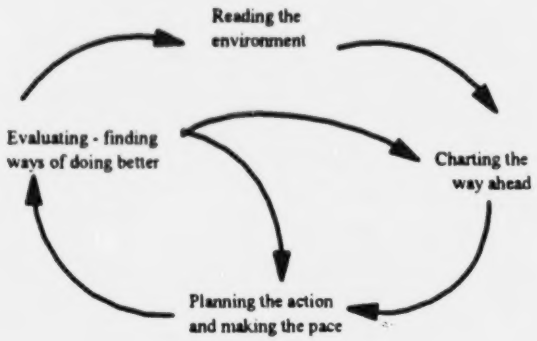
The focus, therefore, is not whether senior managers are performing routine, delegated actions in the right way; but whether they are doing the right things as well. It was agreed that the concept of seniority was associated with strategy for the organization and with operating in a way which was not confined to departmental or sectional interests.

Senior management includes those people who share collective responsibility within boards of directors. Its role includes advising boards and equivalent responsible bodies on what they should do and how they should do it. Senior management is also responsible for putting decisions into action and for creating the conditions in which first line and middle managers can conduct operations.

This span from the strategic to the operational is summed up as a *Key Purpose Statement* which states that the key purpose of senior management is to;

> *Develop and implement strategies and provide leadership to further the organization's mission and achieve the objectives.*

As a result of this four main areas of action emerged which can be best represented diagramatically as;


Reading the environment
Charting the way ahead
Planning the action and making the pace
Evaluating - finding ways of doing better

These dimensions can be expressed more formally as:

Reading the environment(ie)

Identify and evaluate opportunities and threats/obstacles for the organisation in the internal and external environments,

Charting the way ahead(ie)

Contribute to developing and communicating the mission, objectives, goals, values and policies of the organisation and its units;

Planning the action and making the pace (i.e.)

Develop and implement programmes, projects and operating plans for the organisation

Evaluating - finding ways of doing better (i.e.)

Review and evaluate objectives and policies and their implementation.

Projected Uses of The Integrated Model.

The senior management standards framework together with the personal competence's and underpinning knowledge and understanding can be used in a variety of ways to facilitate the achievement of organizational objectives. Besides receiving recommendations from participants

involved with the project the project team also contributed ideas of their own.

The outcome of this was a comprehensive list of potential uses for the standards from which there emerged four key areas.

1. ***Assessment.*** The standards produced in the model were seen to provide a range of assessment criteria upon which individual managers, their employers and external assessing bodies could assess performance against a transparent and acknowledged benchmark. The types of use could include such aspects as;

* Bench marking of expectations
* Assessment of development needs
* Appraisal of performance
* Evaluation of outcomes
* Review and feedback

2. ***Career Development.*** As the standards model developed many contributing senior mangers were able to see its use in terms of an aid towards career development. This could take place on a number of levels, for example;

* the current position
* the next potential position
* a lateral move either inside or outside the organization

In addition to helping individuals to "fill the gap" of career knowledge and work towards gaining enhanced ability in identifying specific areas of need for career growth the standards could be utilized by career guidance counselors. The underlying usage of the standards in career terms can be said to be one of ' individual enhancement'.

3. ***Personal Focus.*** Individual senior managers could be encouraged to identify their own developmental targets and to 'self-develop' to achieve such a focus. In appraisal terms at senior management level one often refers to achieving 'Key Result Areas'. The setting of such areas as targets can be linked with the standards providing a 'benchmark' or 'checklist'. In order to assist such personal growth individuals might be encouraged to utilize the standards to assist them in the preparation of their own on-going development programs.

4. ***Organizational Response.*** Employing organizations may well value the standards from the perspectives already provided in 1 and 3 above. Additionally they might consider the standards to become a working tool for the organization to the extent of using them to;

* design assessment criteria
* introduce personal development programs
* focus upon team or group development using the standards as the overall template
* develop the organization through strategic focus of attention on specific parts of the model at specific times in order to respond to market trends
* as an aid to recruitment and promotion.

Conclusions

This paper has attempted to provide an overview of some of the issues surrounding the identification of management competence's. In particular it has focused upon those aspects of managerial behavior that distinguish the superior performer from the average.

Senior management as a whole requires the performance of all functions represented by these units, but individual senior managers may recognize that they are not expected to perform all of these functions at any one time or in any one situation. Change the situation, however, and any of the functions might become part of their role.

The senior management standards are designed to apply to a wide range of organizations, covering the private, public and voluntary sectors. During the development of the standards we were impressed by the degree to which senior managers from different sectors and many different types of company found themselves having to deal with essentially the same

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functions. The cases they cited were different in many ways. The scale of events, the financial implications, the degrees of urgency and criticality and the context created different demands, but the focus of action was capable of being expressed in a much more common way. We have attempted to summarize these in the functions the elements - for which the standards are defined.

The functions do not represent discrete *tasks* for senior managers to undertake. Our sample of managers would defend their right to operate in their own, often innovative ways. Instead the functions represent the components of what it is that senior management is responsible for achieving, however it is done. The functions are separated only as far as is necessary to specify the outcomes of senior management's contribution to he organization. There is always a tension in separating functions. Not to do so means that only gross, general end results can be specified, not necessarily attributable to management, let alone individual managers. This breakdown attempts to go just far enough to specify, without excessively determining how senior managers achieve what they are meant to.

This paper has attempted to highlight some of the fundamental concepts associated with establishing standards of managerial competence. The authors recognize that the way in which MCI standards of competence are defined (i.e. in terms of outcomes) does not have universal acceptance. Equally they make no claim that all the issues have been addressed. It is hoped however, that the paper will stimulate further debate in order that a clearer understanding of the many issues might be realized.

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Leadership Development of Physician Executives

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The authors conducted a national study to determine the factors associated with success of physician executives. They utilized three instruments to study 150 physician executives: the Leadership Practices Inventory (LPI), a demographic survey, and individual interviews with 20 respondents. The authors focused on the implications for the selection, training, and management/career development of physician leaders.

With critical reforms emerging in the 90s, health care organizations are changing at lightening speed. Hospitals, private practices, HMOs, and insurers are aligning to increase their odds of survival in an era of restrained resources and competition. Physicians are propelled to shift from solo, autonomous, and self-regulated practices to collective, collaborative and externally managed ones. Who are leading these changes? Historically, health care leaders have come predominantly from non-clinical backgrounds. But, looking around today, we see yet another change: the increasingly strong presence of physicians who have emerged as leaders in the forefront of health care reform.

Problem Statement and Theoretical Framework

Who are these physician leaders and how do they approach their leadership roles? What would they say are critical success factors for physician leaders in these turbulent times? If queried, would physician leaders report similar practices as leaders in other industries? Studies (Bennis, 1989; Kotter, 1988, 1990; Kouzes and Posner, 1987, 1989; Zaleznik, 1992) have identified practices of successful leadership. None of these studies specifically focuses on the physician leader. And, if factors associated with physician success could be identified, what would they implicate about the training and development of physician leaders?

While there is a proliferation of executive training activities for physician leaders, some of this training appears to utilize traditional paradigms intended for non-medical administrators—paradigms which may or may not be optimal for physician leaders. One extensive physician leader study reported that as their training and experience in management increased, the more competent they believed themselves to be in management (Tabenkin, Zyzanski, & Alemagno, 1989). Ten percent of the physicians in this study reported they had not had management training, 57 percent reported moderate levels of training (including seminars, informal training, and graduate coursework in management), and 24 percent indicated they had received a high level of training (including a graduate degree in management or coursework leading towards a degree, plus seminars and informal training). While this study was extensive, it did not address the appropriateness of the content of the training and how it might be developed to reflect the unique needs of the physician leader.

Research Question

What are the factors associated with physician leader success? To understand the dimensions of this question and the implications for physician executive training and development, the authors undertook a national study.

Methodology

The authors randomly selected 150 of 350 Fellows of the American College of Physician Executives (ACPE). The authors worked under the assumption that achievement of the Fellow title implied at least

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some level of success as a physician leader. To profile these physician leaders, the researchers used three methods of data collection: the Leadership Practices Inventory (LPI) (Kouzes & Posner, 1988), a demographic survey designed by the researchers, and individual one hour interviews of 20 physician leaders who participated in the study and volunteered to be interviewed.

Leadership Practices Inventory The LPI, designed and developed by Kouzes and Posner (1988), is a survey using a five-point Likert scale. Kouzes and Posner (1988) used factor analyses of sets of behaviorally-based statements of leadership practices in the LPI. The analyses demonstrated patterns of critical leadership actions in five categories:

Challenging the Process: "Searching out challenging opportunities to change, grow, innovate, and improve; and experimenting, taking risks, and learning from the accompanying mistakes (p.5)."

Inspiring a Shared Vision: "Envisioning an uplifting and ennobling future, and enlisting others in a common vision by appealing to their values, interests, hopes, an dreams (p.6)."

Enabling Others to Act: "Fostering collaboration by promoting cooperative goals and building trust; and strengthening people by sharing information and power and increasing their discretion and visibility (p.6)."

Modeling the Way: "Setting the example for others by behaving in ways that are consistent with their stated values; and planning small wins that promote consistent progress and build commitment (p.7)."

Encouraging the Heart: "Recognizing individual contributions to the success of every project; and celebrating team accomplishments regularly (p.7)."

Demographic Survey The authors designed a demographic survey to accompany the LPI, including questions regarding career path and leadership practices. The demographic survey and the LPI, along with a cover letter, were reviewed by experts and piloted with 25 physician leaders participating in a 13-week seminar, "Certificate Program in Management for Physicians," offered through the Center for Health and Medical Affairs, University of St. Thomas, Minneapolis, sponsor of the study.

Interviews To obtain a sample of respondents for interviews with the authors, the demographic survey included a solicitation for volunteers who would be willing to be interviewed at the ACPE Conference in Washington, DC in May, 1994, or by phone. The authors scheduled one hour interviews with 20 volunteers. The interview questions focused on selection processes for their current position, perception of variables associated with leadership success and failure, core philosophy regarding leadership, the handling of leadership obstacles, and the management and career development for potential physician leaders.

Statistical Procedures The authors used an F-test and the Pearson Product-Moment Correlation to assess statistical differences between LPI indices and the variables in the demographic survey. In addition, the researchers analyzed the major themes found in the interview data.

Results

The results of this study are currently not available; preliminary results will be disseminated at the Conference.

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ON A CLEAR DAY YOU CAN HAVE A VISION: A VISIONING MODEL FOR EVERYONE

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In reality, we can't see very far without having a clear, mutually agreed upon vision. It is becoming apparent that even our most successful organizations are amazed at their own lack of agreement concerning their corporate vision. In part, they seem to have their vision (a desired end) confused with their goals and objectives (the means to get there). This paper presents a participative model for visioning that is intended to encompass all organizational stakeholders.

The familiar song lyric says, "On a clear day you can see forever." It's a nice thought but, in reality, no matter how clear the day, we can't see very far without having a clear, accurate, well-reasoned vision. Although we tend to forget it, we have always known that this is a basic truth. Even the old testament of the Bible tells us that without a vision the people will perish (Proverbs 29:18 and Hosea 4:14). According to Lee (1993), "The concept of vision has never been more important than in today's world of flattened, delayered, decentralized organizations" (p. 26). This need for a clear vision as a starting point and anchor for what we do is equally important for our organizations, the individuals in those organizations and all of the levels in between.

First, let's understand what we mean by the word "vision" in this context. According to Info-Line (1991), visioning evolved from two planning concepts from the 1950s and 1960s; management by objectives and strategic planning. These concepts were rather dry and lacked enthusiasm and employee buy-in because they relied heavily on facts and figures handed down from above. Visioning is designed to correct these flaws by participatively involving the mind and spirit of each organizational member. Webster defines visioning as the ability to perceive something not actually visible, as through mental acuteness or keen foresight. According to Lee (1993), when you create a vision, "you're writing a constitution, a frame of reference for everyone" (p. 28). A vision is a commitment to establishing rethinking, and reviewing who we are and what we are here to do. For example, according to Naisbitt (1984), the railroads in America have fallen on hard times in recent years, at least in part, because they never faced up to the business in which they were really engaged. They operated during their good years as if they were in the train business rather than realizing that they were in the goods and people moving business. In other words, we may be dealing with a confusion between means and ends. If the end is to move people and goods, one available means is the rail system. If, on the other hand, the end is to build and run a railroad, the means becomes the movement of goods and people. Which of these two visions ultimately become the basis for planning and operating naturally make a big difference in how they run their day to day business.

Perhaps the same visioning problems could be applied to the struggling U.S. automobile industry. The American auto industry may need to ask itself whether they are in the business of building motor vehicles or the business of moving people and goods. For instance, if the desired end (vision) is to move people and goods, the day may come soon when they should build monorails or whatever mode of transportation is viable and feasible at the time (the means).

A good way to define a vision more formally is to examine what a vision can do for us. A vision can provide a road map for future direction and generate excitement about that future direction. A vision can also create order out of chaos and, last but not least, it can offer a criteria for measuring success. We have stated what a vision *can* do but to really be effective a vision *must*:

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Be coherent enough to create a recognizable picture of the future
Be powerful enough to generate commitment to performance
Emphasize what realistically *can be*
Clarify what *should be*.

In sum, according to Warren Bennis (1992), a vision is part rational (the product of analysis) and part emotional (the product of imagination, hunches and values); it embraces the yin and the yang of corporate strategy and performance. Now that we have an idea of what a vision is, let us further examine the need for visioning at all levels and then propose a model for arriving at that vision.

The Need for a Clear Vision

It is fair to ask why it is so important to establish a clear vision. Research and practical experience answers that by telling us that visions:

1. inspire and motivate
2. provide direction and foster success
3. are essential to the organization of the future
4. enable us to benchmark our progress and evaluate our outcomes

The need for a clear vision is important at all levels from entire organizations to each individual in those organizations. It should also be obvious that it is equally important to have an agreement between our personal vision for our own future and the vision of our organization. However, this agreement is hard to achieve if those visions are not clearly articulated.

Our personal, individual visions are all unique. Those visions or dreams usually start very early in life. In a way our wishes, dreams and visions make us all orphans. Nobody is exactly like us including our own family.

At the corporate level it is important to have a vision in order to have direction, to efficiently plan for the future, and be able to work together to accomplish our goals. However, it has become very clear, and at the same time surprising, that many of our most successful corporations do not have a clear corporate vision. Consultants tell us that, when they bring the key people in a corporation together, there is often great surprise among these key people themselves at how little agreement they have concerning the corporate visions. "If you have no clear direction, it's tough to know -- or care -- if you're heading where you want to go" (Lee, 1993, p. 26). In other words, if the organization has no clear, agreed upon vision, it is difficult for them to know if they are heading in the right direction at any given time. One of the eight basics of Peter's and Waterman's (1982) excellent companies is to "stick to the knitting." This is good advice but rather difficult to accomplish if it is unclear exactly what "the knitting" is.

By our own observations and/or from the information already presented here we can hardly deny that we must have a vision for ourselves and have a clearly agreed upon vision in our organizations. The need for a vision, however, reaches much further than this. For example, with a vision, organizations *and* individuals would both make much wiser, well advised human resources choices. That is, with a clear, agreed upon corporate vision there is a much greater probability of selecting new employees whose personal vision is in line with the corporate vision. On the other hand, if an individual has a clear personal vision of their own career path, they are far more likely to choose a work environment that will provide a compatible vision. In both cases many costly human resources mistakes currently being made could be avoided.

Being Certain We Can and Will "Walk the Talk"

Once we establish and articulate our vision, particularly a corporate vision, we must own it, believe in it, exemplify it in our behaviors and choices, and generally live it every day; we must walk the talk. Many organizations post their vision on the wall in a nice frame or print their visions and goals on plastic cards to be carried in a pocket. If, however, the visioning process is

just a fad and/or is not embraced by everyone so that it becomes the basis for all organizational activity, all we have is a wall decoration or a pocket filler.

Even if a vision is "owned" by everyone in the organization, it will take determination to stay the course because the world around us will constantly try to dissuade us from our vision. Our vision, especially if it represents a major change in how we view ourselves, will always need to be protected form the natural desire to retreat to our "comfort zone."

If we establish and articulate a vision that turns out to be just window dressing or a motto on the wall that bears no resemblance to day-to-day reality, many negative outcomes can occur. In such a case, the vision will not provide any real direction for the organization nor will it provide a realistic benchmark by which we can evaluate ourselves. Perhaps most important, that gap between a stated vision and daily reality will be anything but inspiring and motivating. In fact, many organizations, which probably should remain nameless here, have experienced a severe backlash from such a dichotomy. The cynicism that organizations stir up when they fail to live by their visions eventually can develop and jell into a pervasive distrust (Lee, 1993). So, if we don't *really* believe our vision and live it every day, we might be better served to forget the vision altogether. In other words, no stated vision at all may actually be better than a lip service vision that creates frustration by bearing no resemblance to reality.

The Process of Creating and Establishing a Vision

In the introduction it was suggested that finding out what our vision really is may be a matter of sorting out means from ends. Examples of success brought about by clear visions and having no confusion over means and ends are many and diverse. For example, there is a chicken fast food concern who discovered that their vision (end) is to provide a meaningful work experience for young Americans and they accomplish that end by making chicken sandwiches (means). If the means and end were reversed they would be running a far different operation. Another case is a playground architectural firm that is so invested in the vision of a voluntary, community-built concept that they will not build the playgrounds in July or August. Indeed those are the best outdoor building months but they are also the months when schools are closed and community members are away on vacation. Now that is knowing your vision and following it regardless of intervening factors.

A "good" vision statement should lay out our financial and spiritual aspirations (the ends) in about 25 words or less (Schaaf, 1993). The process of establishing a vision eventually involves the asking of straightforward questions and obtaining honest answers. As pointed out earlier, Naisbitt (1984) says that at some point we must ask ourselves in what business we are *really* engaged.

Here are some other questions that might help us know who we are and/or who we want to be:

- What is our purpose?
- What is your driving force?
- What are our core values?
- What do we do best?
- What do we want to accomplish?
- What do we want to change?

Once we have answered these questions concerning who and/or where we are *now* as well as who and/or where we *want* to be (our vision), we must consider the potential barriers to reaching that vision. After all of these considerations have been examined, we can develop a set of goals, measurable objectives and strategic plans to accomplish our vision. Jack Asgar (1993) points out the fact that:

> If managers want to change an organizational culture, they first must have a solid grasp of the present situation, how it was formulated, and how it is operating. They then need a clear idea of where they want to go, how they're going to get there, and the probable consequences of the attempt (p. 94).

Who and or where we want to be, then, is our vision or *desired end*. The goals, plans, and measurable objectives are the *means* to get there; a clearly defined road map.

Organizations contemplating the creation and establishment of an effective vision need to apply the foregoing questions and plans within some preestablished guidelines. Some suggested guidelines are:

- A *vision* should be relatively timeless. Changes might be necessary due to major changes in the environment but the vision should be established as if it wouldn't ever change.
- Goals and objectives (the means), on the other hand, must remain flexible enough to accomplish the vision.
- Both the vision (the end) and the related goals and objectives (the means) should be based on a set of principles or parameters.
- The vision should encompass all of the organization's members. The ultimate effectiveness of the vision depends on the total participation of the organizational members in its establishment; they must own the vision if it is ever to be implemented.

Now that we have explored the fundamentals of how to create and establish a vision, we need to look more closely at a model or suggested action plan depicting how the process fits together and examine the instruments necessary to bring the model to fruition.

The Model

This visioning model, or action plan, is divided into stages (see Figure 1). The first two stages ask for an individual, independent perception of the current organizational vision from all organizational members. The third stage requires the management team to come to consensus on *the* organizational vision and set goals and measurable objectives. The final stage asks each manager to set down with their associates (team members) and together set vision-based individual goals and measurable objectives.

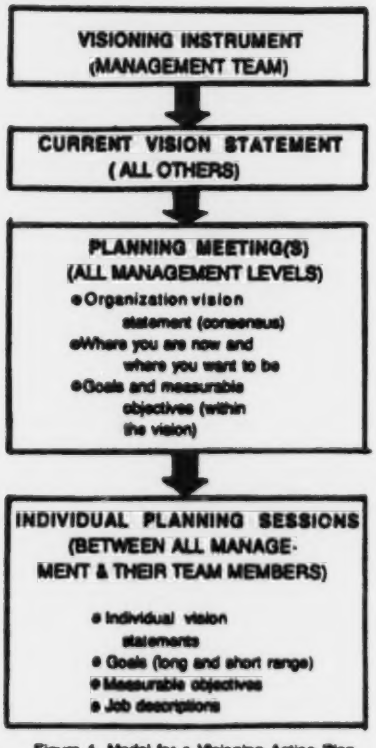
VISIONING INSTRUMENT
(MANAGEMENT TEAM)
CURRENT VISION STATEMENT
(ALL OTHERS)
PLANNING MEETING(S)
(ALL MANAGEMENT LEVELS)
• Organization vision statement (consensus)
• Where you are now and where you want to be
• Goals and measurable objectives (within the vision)
INDIVIDUAL PLANNING SESSIONS
(BETWEEN ALL MANAGEMENT & THEIR TEAM MEMBERS)
• Individual vision statements
• Goals (long and short range)
• Measurable objectives
• Job descriptions

Figure 1. Model for a Visioning Action Plan

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In the first stage, the management team is asked to respond to a visioning instrument. The organizational levels to be included in this stage are optional. The suggested instrument is a revised version of Warren Bennis' Intent Quotient (IQ) questionnaire (see Appendix A). It is very important that everyone filling out this form do so independently and at the same time without consulting with one another and without prior notice to "reduce the potential for being influenced by the answers of others" (Morrisey, 1992, p. 73). In other words the results will be more effective if the responses are spontaneous and individualized.

Closely following this first stage, all organizational members will be asked to respond individually and independently to a scaled down version of the IQ instrument (see Appendix B). Once these visioning forms have been completed, the management team will meet to compare their perception of the corporate vision with those of their managerial colleagues as well as the organizational vision statements of their associates.

During these management planning meetings there is normally a surprising amount of shock and disbelief revealed concerning the amount of discrepancy and difference of opinion between the participants regarding the organizational vision. During this management meeting stage it is helpful to address such questions as who, where, and what the organization is now and who, what and where it wants to be. The goal of this meeting should be to reach total consensus right there on the spot on an agreed upon organizational vision that can be written down and articulated. Once consensus has been reached concerning the organizational vision, the group must articulate a set of general goals, an action plan to bring the vision to fruition as well as the specific measurable objectives necessary to carry out the goals. We must remember that a vision (end) is not the same as an action plan (means). A vision without an actin plan is just a dream; an action plan without a vision is drudgery; a vision *and* an action plan is our best hope for the future.

This action plan consisting of goal and objective setting activities may be done at the visioning meeting or at a subsequent meeting or meetings to be called as soon as possible. The goals and objectives should always be kept within the parameters of the agreed upon vision. The goal and objective setting task can be handled by the management team or in consultation with other or all organizational associates depending on the commitment to participation currently existing in the organization.

After the vision, goals, and objectives have been set, the organization can move into the final stage of the model. In this final stage each manager and supervisor at each level will take the opportunity to sit down with each of their team members to participatively and jointly agree on an individual vision for each of these team members. Of course, the individual vision needs to be within the parameters of the agreed upon organizational vision as well as specific to the individual's position and functional responsibilities within the organization.

This process of sitting down together and understanding each other is vital to the ultimate achievement of organizational and individual visions. This understanding, or the lack of it, is portrayed in Figure 2.

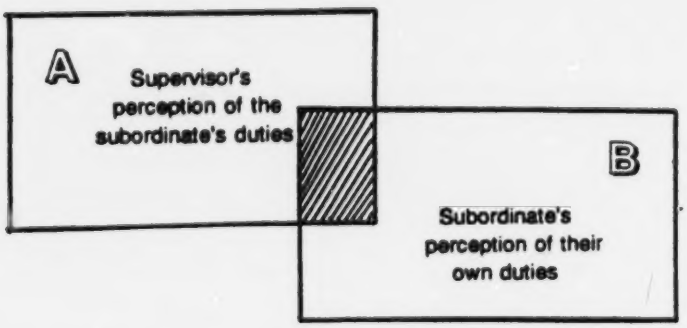

Figure 2. Perceptions of job descriptions

Area A represents the amount of dissatisfaction the supervisor feels because of perceived portions of the subordinate's job which are not being accomplished. Area B represents portions of the job which the subordinate perceives as being vital to his/her daily activities and responsibilities but for which he/she never seems to get credit for accomplishing. The dark area represents the only time when both parties are satisfied. The goal of the process is to decrease areas A and B and increase the dark area. In order to accomplish this goal the meeting should include the setting of agreed upon long and short range goals for the team member, measurable objectives as well as how and when their outcomes will be evaluated and, occasionally, revisions of the job description when necessary.

The total expected outcome from the application of this model is an organization that knows who it is, what it wants to be and how to get there. An even greater expectation is an organization that, if it went back to the first two steps in the model, would independently write down an identical organizational vision; everyone in the organization would be running in the same direction.

Conclusions

By now it should be obvious that an organization without an agreed upon, clearly articulated vision is like a ship without a rudder; an airplane without a flight plan. We need only look around at recently successful organizations which are now in serious trouble to realize that, without a clear vision and a plan to articulate that vision, any organization and/or individual will surely perish.

We need to eliminate any and all confusion concerning what we are and who we want to be. Warren Bennis (1992) tells us that a clear vision should answer the following questions:

- What is unique about us?
- What values are true priorities for the next year?
- What would make me personally commit my mind and heart to this vision over the next five to ten years?
- What does the world really need that our organization can and should provide?
- What do I really want our organization to accomplish so that I will be committed, aligned, and proud of my association with the institution?

This paper has presented a model for a visioning action plan that is intended to encompass all organizational stakeholders. The model fosters participative agreement concerning who we are now and a vision for who we want to be (desired end result) as well as the means by which we intend to reach that end result. No matter how well the model and the visioning process itself works, it means nothing unless every organizational member is unified concerning the vision and puts the vision into practice on a daily basis.

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APPENDIX A

NOTE: This is a revision of Warren Bennis' Strategic Intent Quotient questionnaire

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Please answer the following questions as honestly as you possibly can. Answer them independently and do not discuss these questions and/or your answers with others in your organization at this point. We are only interested in your own personal opinions.

---

1. Is the organization moving in a clear direction?
   Yes Not Sure No

2. Is that direction clear to the people in your organization?
   All of them Some of them A few of them None of them

3. Does your organization have a well-articulated, clear mission statement of its strategic vision?
   Yes No

4. Could you write a one- or two-sentence statement of that strategic vision?
   Yes No

5. Do your key employees understand that strategic vision?
   Yes No

6. Could each of your employees write a one-or two-sentence statement of that strategic vision without consulting you or each other?
   One Person Could Some Could None Could All Could

7. Do they use this vision statement as an effective guide for the choices they make relative to organizational business?
   Very Effective Somewhat Effective Not Effective

8. Is your strategic vision effective in helping you make organizational choices?
   Very Effective Somewhat Effective Not Effective

9. Have you ever sat down as a management team to try to obtain consensus as to the future direction of your organization?
   Yes No

10. Was consensus obtained or are there still different versions of what the organization is trying to become?
    Total Consensus (Single Vision) Some Consensus (Fuzzy Vision) Little Consensus (Different Visions)

11. Do you have a separate process of strategic thinking to determine what you want to become as opposed to how you get there?
    Yes No

12. What is your one- or two- sentence statement of the strategic vision of this organization?

    _____

    _____

    _____

    _____

APPENDIX B

Please answer the following questions as honestly and completely as you can. It is important for you to answer them independently. Please do not discuss these questions and answers with others in your organization at this time. We are interested in your own personal opinion.

1. Does your organization have a well articulated, clear statement of its strategic vision (who they are and what they are here to do?)

   Yes_____ No_____

2. Could you write a one or two sentence statement of that strategic vision?

   Yes_____ No_____

3. If so, what is that one or two sentence statement of the strategic vision of this organization?

   NOTE: Remember now, this is your own view of your organization's strategic vision. Just say it the way you see it!

_____

_____

_____

_____

_____

How Do Selected HRD Professionals View The State of the Succession Planning Art?

William J. Rothwell
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Succession planning (SP) is commanding renewed attention in corporate America. In this article, the author presents a portion of the results of a recent survey of 350 HRD professionals. The article focuses on the survey results regarding opinions about SP. The researcher examined what HRD professionals perceive about top management attitudes about SP in their organizations as well as what HRD professionals feel about it. Not surprisingly, the research results revealed that HRD professionals in organizations already operating a succession planning program believe top management attitudes about SP are more positive than in organizations not operating a SP program. More surprising, however, is that the research revealed that the highest frequency of respondents from organizations with and without SP programs perceived such programs to be "critically important to this organization at this time."

Decision-makers in many organizations have awakened to a startling realization: they are not sure where the next generation of top management leaders will come from. The reason is that downsizing, along with the increasing use of temporary employees at all levels and a decline in employee loyalty, has led to a crisis in that it is not always apparent who will lead the corporation tomorrow. As one consequence, many decision-makers have concluded that they cannot forever depend on executive search firms to find the right person with the right skills at the right time to fill every critically-important leadership vacancy. To ensure leadership continuity and corporate survival, a better approach is to pay more attention to the development of internal talent and to the age-old question of succession planning.

Succession planning has profound implications for HRD professionals as well. In an age of diminishing resources, it only makes sense to invest resources for employee development in employees having the most future potential and the best track record of exemplary performance. But if it is not clear who those people are because the organization lacks a succession planning program or some other means of identifying promising talent to meet critical needs, then resources may be squandered on those with little or no potential or track record of success.

This paper examines the opinions of HRD professionals about Succession Planning. Based on the results of a recent survey of HRD professionals, the paper offers some key definitions related to Succession Planning, describes the research questions guiding the study, explains the methodology used to conduct the survey, and summarizes the survey results and conclusions. The paper concludes with recommendations for future research on succession planning.

Definitions

A good place to begin is with some important definitions:

- *Succession planning* means any effort designed to ensure the continued effective performance of an organization, division, department or work group by making provision for the development and replacement of key people for key positions over time.

- *Replacement planning*, which should not be confused with succession planning, is a form of risk management that is used to identify individuals to fill important

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vacancies that unexpectedly arise.

The important point to remember is that replacement planning is intended to ensure "backups" for critical positions that arise without notice. On the other hand, succession planning should be geared to cultivating everyone so they are preparing themselves for long-term advancement vertically (*up a chain of command*) or horizontally (*up a skill chain*).

Research Questions

To explore the state of the succession planning art, the researcher conducted a survey on the subject. The major goal was to assess the status of SP as a driving force behind organizationally-sponsored performance improvement interventions--such as training, education and development. More specific study goals focused around answering such questions as these:

1. What are the primary reasons that organizations sponsor SP programs?
2. How long have organizations operated SP programs?
3. What are the common characteristics of effective SP programs?
4. What groups are the primary targets for SP programs?
5. How effective are various methods for grooming individuals as perceived by HRD professionals in organizations sponsoring SP programs?
6. What do HRD professionals perceive to be the opinions of top managers about SP programs?
7. What are the opinions of HRD professionals about SP programs?

This paper focuses only on questions 6 and 7 above. The answers to the other questions will be published elsewhere.

Methodology

The researcher began the study by drafting a survey to address the research questions listed above. The survey was divided into four parts. Part I solicited background information about respondents; Part II solicited information about respondents' organizations that are presently operating SP programs; Part III solicited information from respondents in organizations that are not presently operating SP programs; and Part IV posed questions about SP issues to respondents in organizations that are *and* are not presently operating SP programs. This paper focuses exclusively on Part IV of the survey results.

How Was The Survey Prepared? Two HRD professionals reviewed the survey prior to mailing. The researcher revised the survey based on their recommendations.

How Was The Survey Conducted? In October 1993 the researcher selected a random sample of 350 HRD professionals from the 1993 membership list of the American Society for Training and Development and mailed the questionnaire on October 15, 1993. Approximately 2 weeks after the survey was mailed, a follow-up postcard was sent to the original list of survey recipients to encourage a response. Names were selected from the alphabetic listing of ASTD members. Consultants and academicians were excluded as their names were drawn for the sample. By November 30, 1993, the researcher had received 64 questionnaires--a response rate of 18%. (That response rate matches or exceeds similar cross-organizational surveys sent to random samples in recent years.) No effort was made to follow-up with nonrespondents.

Limitations of The Survey. The survey results should be viewed cautiously for several reasons. This study was limited by (1) a low response rate; (2) possible systematic bias resulting from the use of a random sample of members of the American Society for Training and Development; (3) a skewed response from manufacturers (49% of the total respondent group) and larger organizations (54% of the respondents were in organizations employing 2,000 or more people); and (4) no follow up with nonrespondents.

Results and Conclusions

Workforce restructuring has created a crisis in many organizations. Too few talented people are available to fill critically-important leadership vacancies. The researcher received 64 responses from 350 questionnaires mailed to a random sample of HRD professionals in 1993. Most respondents were from manufacturing--30 of 61 (49%)--and from organizations employing 5000 or more workers --25 of 63 (40%). Their job titles varied. In all, 30 respondents reported that their organizations "presently operate a succession planning program." All the organizations have experienced significant workforce restructuring in recent years. Most (18 or 64%) also indicated that a SP program had existed for more than 5 years in their organizations, that executives and middle managers were the primary targeted participants, and that the two most important reasons for sponsoring SP programs were (1) "identifying 'replacement needs' as a means of targeting necessary training, employee education, and employee development"; and (2) "providing increased opportunities for 'high potential' workers." The most important characteristics for an effective SP program was "establishing a means to appraise individual performance." The most effective method for grooming successors was planned on-the-job training.

Central to this paper will be a report of the following findings.

When asked "how would you summarize the opinions of top managers in your organization about a succession planning program?," the survey respondents provided the following responses:

Chart 1: HRD Professionals' Perceptions of Top Managers' Opinions about Succession Planning

Opinions *(Respondents could check more than one response:)*	**Organizations with formal succession planning programs N = 30**	**Organizations without formal succession planning programs N = 34**
They don't believe succession planning is worth the time required for it	*2*	*8*
They have no clue why such a program might be worthwhile	*1*	*7*
They believe that a succession planning program is worth-while but are not aware of how to manage it efficiently and effectively	*12*	*10*
They believe a succession planning program is worthwhile and that a formal program is better than an informal program	*18*	*5*
I don't know what they think about a succession planning program	*1*	*8*
Other	3	-0-

Not surprisingly, respondents in organizations with a succession planning program had more positive perceptions about top management attitudes of such programs than respondents in organizations without a succession planning program. However, it was somewhat surprising that the most respondents in organizations without succession planning programs perceive that top managers "believe that a succession planning program is worthwhile but are not aware of how to manage it efficiently and

effectively." That may suggest, then, that one barrier to the successful installation of a SP program is top managers' lack of training or awareness of the best ways to establish and operate a succession planning program.

When asked "how would *you* summarize your opinions about a succession planning program?," survey respondents--all HRD professionals-- provided the following responses:

Chart 2: HRD Professionals' Opinions about Succession Planning

Opinions *(Respondents could check more than one response:)*	**Organizations with formal succession planning programs** **N = 30**	**Organizations without formal succession planning programs** **N = 34**
I don't believe such a program is important.	*- 0 -*	*- 0 -*
I believe that other methods work better in identifying and preparing possible successors.	*-0 -*	*- 0 -*
I believe a succession planning program is worthwhile but other programs are more important for this organization right now.	*3*	*9*
I believe a succession planning program is important.	*10*	*13*
Succession planning is critically important to this organization at this time.	*17*	*15*
Other	*1*	*2*

As can be seen from the chart above, the highest frequency of respondents from organizations with and without succession planning programs perceived such programs to be "critically important to this organization at this time." Hence, though the respondent group of this study was limited in size, its members generally agreed on the importance of succession planning.

Recommendations for Future Research

Here are some recommendations for future research on succession planning in no particular order of implied importance:

- How well integrated are existing succession planning programs with training and development programs?
- How much do succession planning programs provide information to drive training and development for "high potential" workers?
- What breaking trends, if any, are evident in succession planning? How much is interest in succession planning tied to the aftereffects of downsizing and other forms of workforce restructuring?

- What evidence exists, if any, to indicate that succession planning is moving away from a *replacement model* (fill a critical position with a high potential) to a *talent pool model* (develop many people for *possible* advancement *both vertically and horizontally*) or to some other model (such as tying replacement plans to critical work processes rather than to narrowly-defined and bureaucratically-enforced "jobs")?

Conclusion

Interest in succession planning appears to be growing as organizations grapple with new ways to address critical staffing needs at all levels in the wake of corporate downsizing and restructuring efforts (see Ancona & Nadler, 1989; Esman, 1991; Francis, 1993; Fraze, 1988; Kerr, 1987; *Long-term business success*, 1989; Novack, 1994; Potts & Sykes, 1993; Rhodes, 1988; Rothwell, 1994). As the results of this limited study suggest, one of the greatest stumbling blocks to wider use of succession planning may be that top executives lack the training or awareness about how set up and operate such programs effectively. This paper has described the results of a recent survey that indicates HRD professionals' perceptions about top managers' opinions on succession planning. This paper also disclosed HRD professionals' opinions on succession planning.

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